SES Performance Management System Executive Performance Plan



Part 1. Consultation. I have reviewed this plan and have been	consulted on its development.				
Executive's Name (Last, First, MI): Battin, Andrew, T	Appraisal Pd. 10/1/16 – 9/30/17				
Executive's Signature: [July 1] . Start	Date: 12/2/16				
Title: Director, Office of E-Enterprise for the Environment	Organization: OCFO				
Rating Official's Name (Last, First, MI): Bloom, David, A	CA NC LT/LE				
Rating Official's Signature:	Date: 12/2/2016				
Part 2. Progress Review					
Executive's Signature:	Date: 4/19/17				
Rating Official's Signature:	Date: 4/19/17				
Reviewing Official's Signature (Optional):	Date:				
Part 3. Summary Rating	(b) (6)				
Initial Communication					
Initial Summary Rating Outstanding Commendable	Effective Minimally Unsatisfactory Satisfactory				
Rating Official's Name (Last, First, MI): Bloom, David, A	Satisfactory				
Rating Official's Signature:	Date: 11/6/7017				
Executive's Signature: Ittisluun 1 - Fall II	Date: 1/6/2017				
Reviewing Official's Signature (Optional):	Date:				
Higher Level Review (if applicable)					
☐ I request a higher level review. Executive's Initials:	Date:				
Higher Level Review Completed	Date:				
Higher Level Reviewer Signature:					
Performance Review Board Recommendation Level 5	Level 4 Level 3 Level 2 Level 1				
PRB Chair Signature:	Date:				
Annual Summary Rating Level 5	Level 4 Level 3 Level 2 Level 1				
Appointing Authority Signature:	Date:				
Part 4. Derivation Formula and Calculation of Annual Summary	Rating				
Element Rating	Score				
Final Critical Element <u>Initial (</u> if changed) Weight	Final Initial (if changed) Summary Level Ranges				
1. Leading Change 10	(b) (6)				
2. Leading People 25	475-500 = Level 5				
3. Business Acumen 10	400-474 = Level 4				
4. Building Coalitions 10	300-399 = Level 3 200-299 = Level 2				
5. Results Driven 45	Any CE rated Level 1 = Level 1				
Total 100%	, or raced rever 1 - rever 1				

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or Government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
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- Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position.
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Element Rating Level Points

Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

Critical Element 1. Leading Change

(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Advances EPA's cross-agency strategies to improve service and program performance, to include streamlining decision making to increase efficiency and reduce costs, and to achieve sustainable environmental, economic, and social outcomes.

Rating Official Narrative:	4) (6)	
	(b) (6)	
Critical Element Rating – Leading Change	(b) (6)	

Critical Element 2. Leading People

(Minimum weight 5%)

b) (6)

Mandatory Performance Requirement: Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Rating Official Narrative

(b) (6)

Critical Element Rating – Leading People

Appraisal Period: 10/1/16 - 9/30/17

Critical Element 3. Business Acumen

(Minimum weight 5%)

b) (6)

Mandatory Performance Requirement: Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Rating Official Narrative:	
	(b) (6)
Critical Element Rating – Business Acumen	(b) (6)

Appraisal Period: 10/1/16 - 9/30/17

Critical Element 4. Building Coalitions

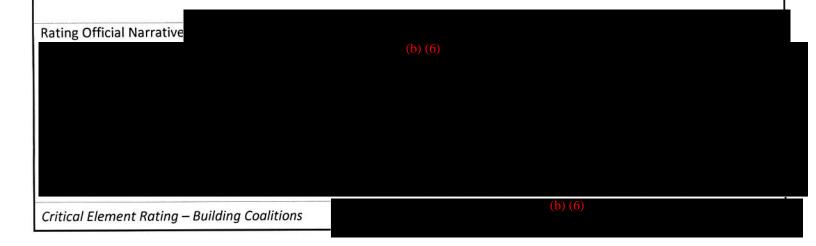
(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.



Appraisal Period: 10/1/16 - 9/30/17

Critical Element 5. Results Driven

(Minimum Weight 20%)

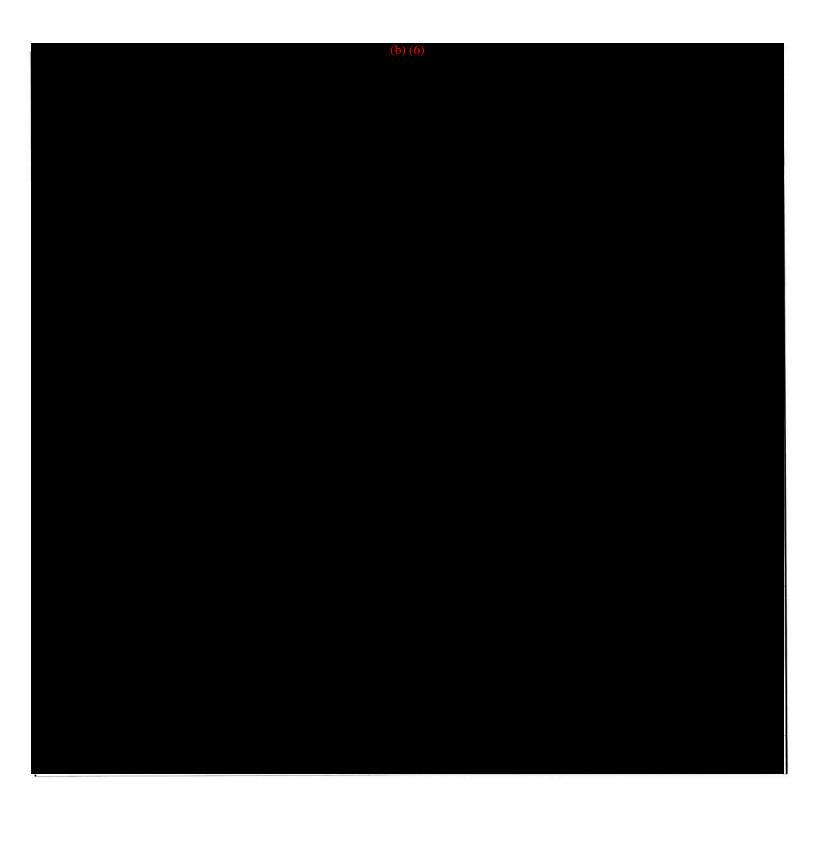
(b) (7)(A)

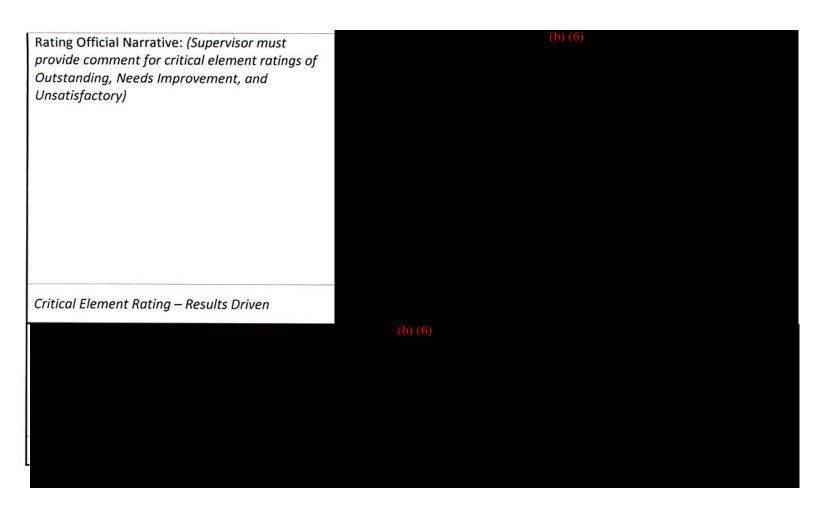
The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

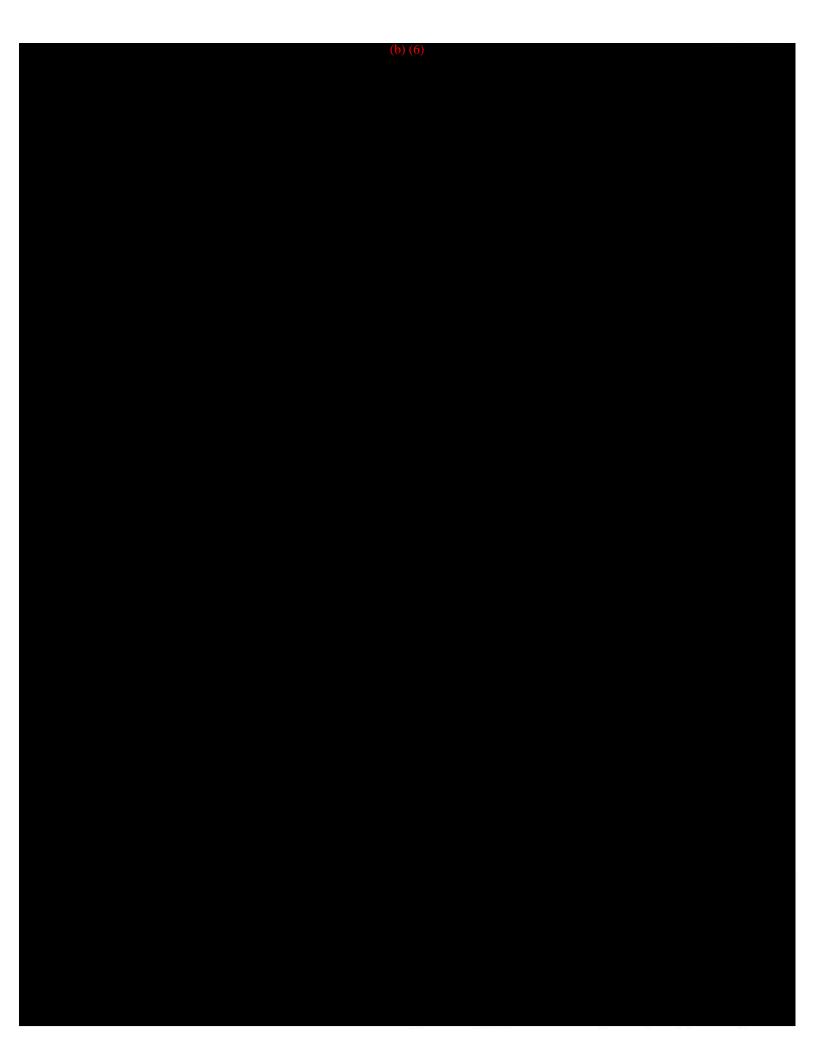
Strategic Alignment–identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.





Part 7: Executive's Accomplishment Narrative Executive must provide narrative for all Critical Elements within the 2 pages
provided. Calibri 10 font required.
(b) (6)



Battin, Andrew, T Long Term Goal: From: 10/1/16 To: 9/30/17 (b) (6) Short Term Goal:	Employee Name (Last, First, MI) Battin, Andrew, T Long Term Goal: Career Goals & Development Objectives Goals/Objectives Performance Period From: 10/1/16 To: 9/30/17 Short Term Goal: Specific Development Activities Activity Time Frame						
Sattin, Andrew, T Long Term Goal: Short Term Goal: Short Term Goal: Specific Development Activities Goals/Objectives Activity Time Frame	Sattin, Andrew, T Long Term Goal: Short Term Goal: Specific Development Activities Goals/Objectives Activity To: 9/30/17 To: 9/30/17	Executive Development Plan					
Sattin, Andrew, T Long Term Goal: Short Term Goal: Short Term Goal: Specific Development Activities Goals/Objectives Activity Time Frame	Sattin, Andrew, T Long Term Goal: Short Term Goal: Short Term Goal: Specific Development Activities Goals/Objectives Activity Time Frame	Employee Name (Last	t, First, MI)		Performance Period		
Career Goals & Development Objectives Goals/Objectives Short Term Goal: Time Frame	Career Goals & Development Objectives Goals/Objectives Short Term Goal: Time Frame		deliti vittiliti ettimini i ≢i			To: 9/30/17	
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Goals/Objectives Activity Time Frame	Goals/Objectives Activity Time Frame	Career Goals	& Development Objective		necific Develop	ment Activities	
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/Employee Supervisor Approving Official Signature Signature Signature		Executive Development Plan.	Date D	Date 12/2/10	Da	ate	

immediate savings.

(b) (6)

SES Performance Management System Executive Performance Plan



Part 1. Consultation. I have reviewed this plan and have been consulted	on its development.
Executive's Name (Lost, First, MI): Bloom, David A.	Appraisal Pd. 10/1/16 – 9/30/17
Executive's Signature	Date: 12/8/2015
Title: Deputy Chief Financial Officer	Organization: OCFO
Rating Official's Name (Last, First, MI): Meiburg, A. Stanley	CA NC LT/LE
Rating Official's Signature:	Date: (2/8/2016
Part 2. Progress Review	10/1/27
Executive's Signature:	Date: 4/76/2017
Rating Official's Signature:	Date: 4/26/2017 Date: 4/26/2017
Reviewing Official's Signature (Optional):	Date: 4/14/24/
	b) (6)
Initial Summary Rating Outstanding Commendable Effective	onsatisfactory
Rating Official's Name (Last, Pirst, MI): 15 17 1111 Atchice 17	Satisfactory
Rating Official's Signature Atthail Him	Date: 1/0/17
Executive's Signature:	Date: 11/2/17
Reviewing Official's Signature (Optional):	Date:
Higher Level Review (if applicable)	
I request a higher level review. Executive's Initials:	Date:
Higher Level Review Completed	Date:
Higher Level Reviewer Signature:	
Performance Review Board Recommendation Level 5 L	Level 4 Level 3 Level 2 Level 1
PRB Chair Signature:	Date:
Annual Summary Rating Level 5 L	evel 4 Level 3 Level 2 Level 1
Appointing Authority Signature:	Date:
Part 4. Derivation Formula and Calculation of Annual Summary Rating	
	Score
Final Critical Element (Strict American	Final
1. Leading Change (b) (6) (6) (6) Weight Initial (b) (6)	(if changed) Summary Level Ranges
2. Leading People 25	475-500 = Level 5
3. Business Acumen	400-474 = Level 4
4. Building Coalitions 10 5. Results Driven 45	300-399 = Level 3 200-299 = Level 2
	Any CE rated Level 1 = Level 1
Total 100%	The second sector 2 sector 2

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

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 and leadership contribute positively toward the achievement of strategic goals and meaningful results. The
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 mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers,
 or employees. The executive routinely does not meet established performance
 expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or
 outcomes.

Element Rating Level Points

Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

Executive Name and ID:	Appraisal Period:
Critical Element 1. Leading Change	(Minimum weight 5%) (b) (6)
Mandatory Performance Requirement: Develops and impleme organizational and program goals, priorities, values, and other faimplementing innovative solutions to make organizational impromajor shifts in direction or approach, as appropriate. Balances of service and program performance; creates a work environment transparency; and maintains program focus, even under adversit Agency-Specific Performance Requirements	ents an organizational vision that integrates key actors. Assesses and adjusts to changing situations, by ements, ranging from incremental improvements to change and continuity; continually strives to improve that encourages creative thinking, collaboration, and
Rating Official Narrative:	
	(b) (6)
Critical Element Roting - Leading Change	
Critical Element 2. Leading People	(Minimum weight 5%) (b) (6)

	(b) (6)	
ating Official Narrative:		
a i dia Pangla		
ritical Element Rating – Leading People	Appraisal Per	od:
xecutive Name and ID:	(Minimum weight 5%)	(b) (6)
Critical Element 3. Business Acumen	(Minimum weight 339)	
	(L, 、,,	
	(b) (6)	
	(6)	
Critical Element Rating – Business Acumen	hazard hazard	
	(Minimum weight 5%	Weight 10%
Critical Element 4. Building Coalitions		eholders or
Mandatory Performance Requirement: Sol	arties to maximize input from the widest range of appropria	te stakeholders to
customers. Coordinates with appropriate p	diverse groups and strengthen internal and external support	rt. Explains,
advocates, and expresses facts and ideas in		
	4 Rasic SES Performance Appraisal Syst	tern' aborted vintary Tota

externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization. Agency-Specific Performance Requirements As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information. Rating Official Narrative: Critical Element Rating — Building Coalition Executive Name and ID: Appraisal Period: Critical Element 5. Results Driven (Minimum Weight 20%) The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

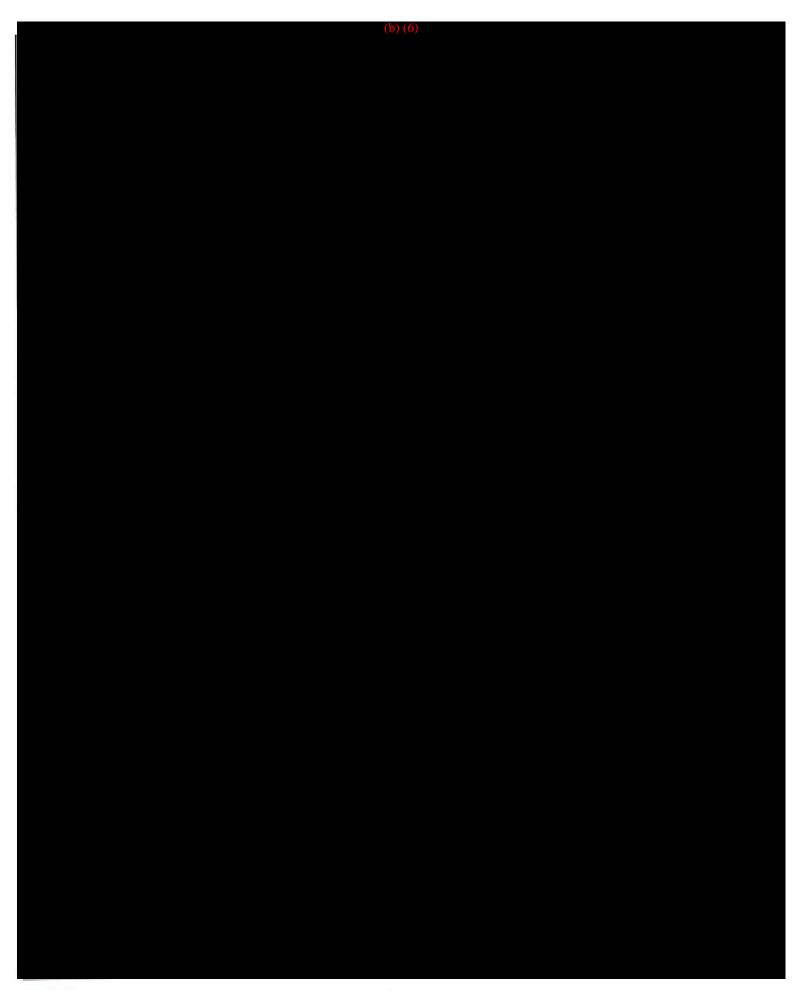
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	6 Basic SES	Performance Appraisal System, updated August 2010

Performance Requirement 8:	Strategic Alignment:
Performance Requirement 9:	Strategic Alignment:
Performance Requirement 10:	Strategic Alignment:
Rating Official Narrative: ((b) (6)
Critical Element Rating – Results Driven	(b) (6)

Part 6: Summary Rating Narrative (Mandatory) Supervisor must provide comment for all ratings.

Executive Name and ID: David Bloom	Appraisal Period: 10/1/2016 – 9/30/2017
Part 6: Summary Rating Narrative (Mandatory) Supervisor	(b) (6)

Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.



Executive	e Developn	nent Plan	x BAR	
imployee Name (Last, First, MI)		Performance Period	ø	
Moom, David A. (b) (6)		From 10/1/2016	To: 9/30/2017	
ong Term Goal:	Short Term Goal:		(b) (6)	
Career Goals & Development Objectives	S	Specific Development Activities		
Goals/Objectives	-	Activity	Time Frame	
	(b) (6)			
Employee	Super	visor	Approving Official	
pproval of the xecutive	911/18H 0	124	gnature	
evelopment Plan Date Date Date	12/8/2014	Da	ite	

SES Performance Management System Executive Performance Plan



Part 1. Consultation. I have reviewed this plan and have been consulted on its development.					
Executive's Name (Last, First, MI): Conklin. Lea	PINE M Appraisal Pd. 7/2017				
Executive's Signature:	onklin, Jeanne M Appraisal Pd. 7/2017 Date: 11/29/16				
Title: Deputy Controller	Organization: OCFO				
Rating Official's Name (Last, First, MI): Silzer, St.					
Rating Official's Signature:	Date: 11/29/16				
Part 2. Progress Review					
Executive's Signature: Jeanne Conkl	Date: 4/19/17				
Rating Official's Signature:	Date: 4/19/17				
Reviewing Official's Signature (Optional):	Date:				
Part 3. Summary Rating	(b) (6)				
Part 3. Sullimary Rating					
Initial Summary Rating Outstanding Commendable	Effective Minimally Unsatisfactory Satisfactory				
Rating Official's Name (Last, First, MI):					
Rating Official's Signature:	Date: ////zoi7				
Executive's Signature: Concoin	Date: /////				
Reviewing Official's Signature (Optional):	Date:				
Higher Level Review (if applicable)					
I request a higher level review. Executive's Initials:	Date:				
Higher Level Review Completed	Date:				
Higher Level Reviewer Signature:					
Performance Review Board Recommendation Level	5 Level 4 Level 3 Level 2 Level 1				
PRB Chair Signature:	Date:				
Annual Summary Rating Level !	5 Level 4 Level 3 Level 2 Level 1				
Appointing Authority Signature:	Date:				
Part 4. Derivation Formula and Calculation of Annual Summar	ry Rating				
Element Rating	Score				
Critical Element (Figure 1977) (Figure 1977) Weight	Final				
Critical Element 1. Leading Change 10 10 10 10 10 10 10 10 10 1	Initial (if changed) Summary Level Ranges (b) (6)				
2. Leading People 25	475-500 = Level 5				
3. Business Acumen 10	400-474 = Level 4				
4. Building Coalitions 10	300-399 = Level 3				
5. Results Driven 45	200-299 = Level 2				
Total 100%	Any CE rated Level 1 = Level 1				

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Element Rating Level Points

Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

Rating Official Narrative:	(b) (6)	
Critical Element Rating – Leading People		

Executive Name and ID: Jeanne Conklin

Appraisal Period: FY 2017
(Minimum weight 5%)

(b) (6)

Critical Element 3. Business Acumen

Mandatory Performance Requirement: Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements

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As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Rating Official Narrative

Jeanne Conklin

Appraisal Period: FY 2017

(b) (6)

Critical Element 1. Leading Change

(Minimum weight 5%)

Mandatory Performance Requirement: Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Advances EPA's cross-agency strategies to improve service and program performance, to include streamlining decision making to increase efficiency and reduce costs, and to achieve sustainable environmental, economic, and social outcomes.

(b) (6)

Rating Official Narrative:

(b) (6)

Critical Element Rating – Leading Change

Critical Element 2. Leading People

(Minimum weight 5%)

(b) (6

Mandatory Performance Requirement: Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Performance Requirement 2:	Strategic Alignment:
	(b) (6)

Critical Element 4. Building Coalitions

(Minimum weight 5%)

Weight 10%

Mandatory Performance Requirement: Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

Rating Official Narrative:

(b) (6)

Critical Element Rating – Building Coalitions

(b) (6)

Titlear Element Nating Banaring countries

Executive Name and ID: Jeanne Conklin

Appraisal Period: FY 2017

(h) (6

Critical Element 5. Results Driven

(Minimum Weight 20%)

The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

Strategic Alignment—identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

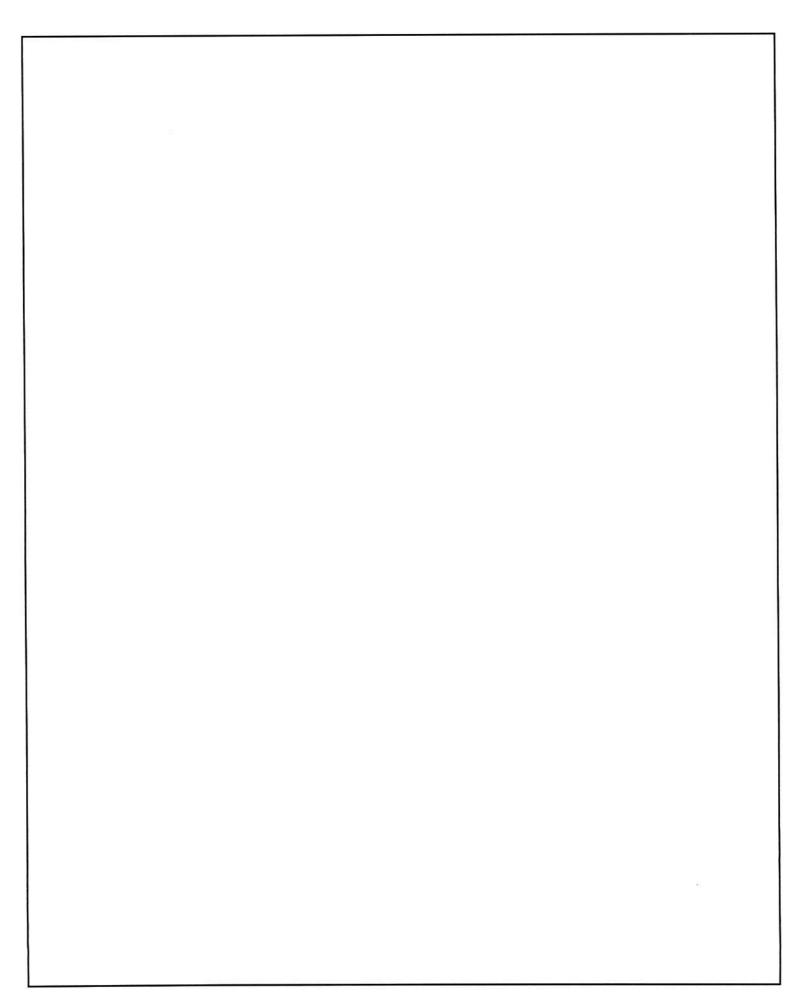
Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

(b) (6)

	(b) (6)	
Rating Official Narrative: (Supervisor must pro	vide comment for critical element ratings of Outstanding, Needs	
Improvement, and Unsatisfactory)		
	(b) (6)	
Critical Element Rating – Results Driven	(b) (6)	

Appraisal Period: FY 2017 Executive Name and ID: Jeanne Conklin Part 6: Summary Rating Narrative (Mandatory) Supervisor must provide comment for all ratings. (b) (6)

ı	provided Celibri 10 feet required.
ı	provided. Calibri 10 font required. (b) (6)



	Executive	Developn	nent Plan	
nployee Name (Last, First, MI)			Performance Period	Y PSER
onklin, Jeanne			From: 10/01/2010	To: 9/30/2018
ong Term pal:	(6)	Short Term Soal:		(b) (6)
Goals/Objectives			Activity	Time Frame
	(b) (6)			FY 2017
				Ongoing
				FY 2017/2018
				Ongoing
				FY 2017/2018
				Ongoing
				FY 2017/2018
				Ongoing
				FY 2017/2018

	Employee	, Supervisor	Approving Official
Discussion and/or pproval of the executive	Signature Hanne Conhlin	Signature	Signature
evelopment Plan.	Date 11/29/16	Date 11/29/16	Date
	8		

(b) (6)

SES Performance Management System Executive Performance Plan



Part 1. Consultation. I have reviewed this plan at	nd have been c	onsulted on its dev	velopment.	
Executive's Name (Last, First, MI): Jones, Quentin	X. /		Ap	praisal Pd. FY 2017
Executive's Signature: The XY	\sim		Da	te: b/5 //
Title: Director	, ,		Org	ganization:
Rating Official's Name (Last, First, MI): Bloom, Dav	vid A.		CA	□ NC □ LT/LE □
Rating Official's Signature:			Dat	te: 12/5/2016
Part 2. Progress Review	A SECTION	/		
Executive's Signature:	x m	2	Dat	te: 4/2/17
Rating Official's Signature:			Dat	te: 4/21/17
Reviewing Official's Signature (Optional):			Dat	te:
Part 3. Summary Rating		(b) (6)		
Initial Summary Rating Outstanding Cor	mmendable	Effective	Minir	mally Unsatisfactory
Timilar Sammary Nating Outstanding Con	illinellable	Lifective		factory
Rating Official's Name (Last, First, MI): Bloom, Dav	vid A.		/	1
Rating Official's Signature:		_ /	Dat	te: 11/6/2017
Executive's Signature:	~ ~	M	Dat	
Reviewing Official's Signature (Optional):			Dat	te:
Higher Level Review (if applicable)				
☐ I request a higher level review. Executive's I	nitials:		Dat	te:
Higher Level Review Completed			Dat	te:
Higher Level Reviewer Signature:				
Performance Review Board Recommendation	Level 5	Level 4	Level	3 Level 2 Level 1
PRB Chair Signature:				Date:
Annual Summary Rating	Level 5	Level 4	Level	3 Level 2 Level 1
Appointing Authority Signature:	500			Date:
Part 4. Derivation Formula and Calculation of An	nual Summary	Rating		
Element Rating		Score		
Critical Element Initial (if changed)	Weight	Fin Initial (if cha	invited	Summary Level Ranges
Critical Element 1. Leading Change 1. Leading Change 1. Leading Change	10	(b) (6)	ilgeu)	Summary Level Kanges
2. Leading People	25			475-500 = Level 5
3. Business Acumen	10			400-474 = Level 4
4. Building Coalitions	10			300-399 = Level 3
5. Results Driven	45			200-299 = Level 2
Total	100%		A	Any CE rated Level 1 = Level 1

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Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements. (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or Government wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- Level 4: The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position.
- Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive routinely does not meet established performance expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or outcomes.

Element Rating Level Points

Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

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Executive Name and ID:	Appraisal Period:				
Critical Element 1. Leading Change	(Minimum weight 5%)	(b) (6)			
organizational and program goals, priorities, va implementing innovative solutions to make org major shifts in direction or approach, as approp service and program performance; creates a wo	ry Performance Requirement: Develops and implements an organizational vision that integrates key onal and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, ting innovative solutions to make organizational improvements, ranging from incremental improvements to its in direction or approach, as appropriate. Balances change and continuity; continually strives to improve diprogram performance; creates a work environment that encourages creative thinking, collaboration, and acy; and maintains program focus, even under adversity.				
Pating Official Name to 16					
Rating Official Narrative: (Supervisor must prov	ride comment for critical element ratinas of Outstandina. Needs				
Critical Element Rating – Leading Change	(b) (6)				
Critical Element 2. Leading People	(Minimum weight 5%)	(b) (6)			
	(b) (6)				

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	(b) (6)	
Rating Official Narrative:		
	(b) (6)	ı
Critical Element Rating – Leading People		
Executive Name and ID:	Appraisal Period	(b) (6)
Critical Element 3. Business Acumen	(Minimum weight 5%)	
	es, analyzes, acquires, and administers human, financial, ma public trust and accomplishes the organization's mission. Us	
to enhance processes and decision making. Exe and manages resources.	cutes the operating budget; prepares budget requests with	justifications;
Agency-Specific Performance Requirements		
	s meeting the Agency's Small Business Program goals and co g potential contracting opportunities for Small Businesses, S	
	rice-Disabled Veteran-Owned Small Business, Women Owne	
Businesses and HUBZone Businesses. As approp	riate, effectively promotes and supports meeting the Agenc	y's Minority
	creased opportunities to Historically Black Colleges and Univ	
	c Islander Serving Institutions, Alaska Native Serving Institut ing Institutions identified by the Department of Education's	
Categories.	and a separation of a separati	,,,,,,,
	cluding through E-Enterprise, and takes advantage of new to	
	gh-performing Agency by ensuring we add value in every trandustry, and the people we serve. As applicable, promotes	
	ments as a component of the Agency's High Performing Org	
Cross-Agency Strategy.		
	nnel security and National Security Information requiremer or prescribed by regulation, directive and agency guidelines.	
	ity Information manual, involving the improper handling, ur	
inadvertent disclosure of classified information a		
Rating Official Narrative:		
Rating Official Natrative.	(b) (6)	
Critical Element Rating – Business Acumen	(b) (6)	
Critical Element 4. Building Coalitions	(Minimum weight 5%)	(b) (6)
	and considers feedback from internal and external stakehol	
customers. Coordinates with appropriate partie	s to maximize input from the widest range of appropriate st	akeholders to

facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and Basic SES Performance Appraisal System, updated August 20164

a.		

externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

Rating Official Narrative:

(b) (6)

Critical Element Rating - Building Coalitions

Executive Name and ID:

Appraisal Period:

Critical Element 5. Results Driven

(Minimum Weight 20%)

(b) (6)

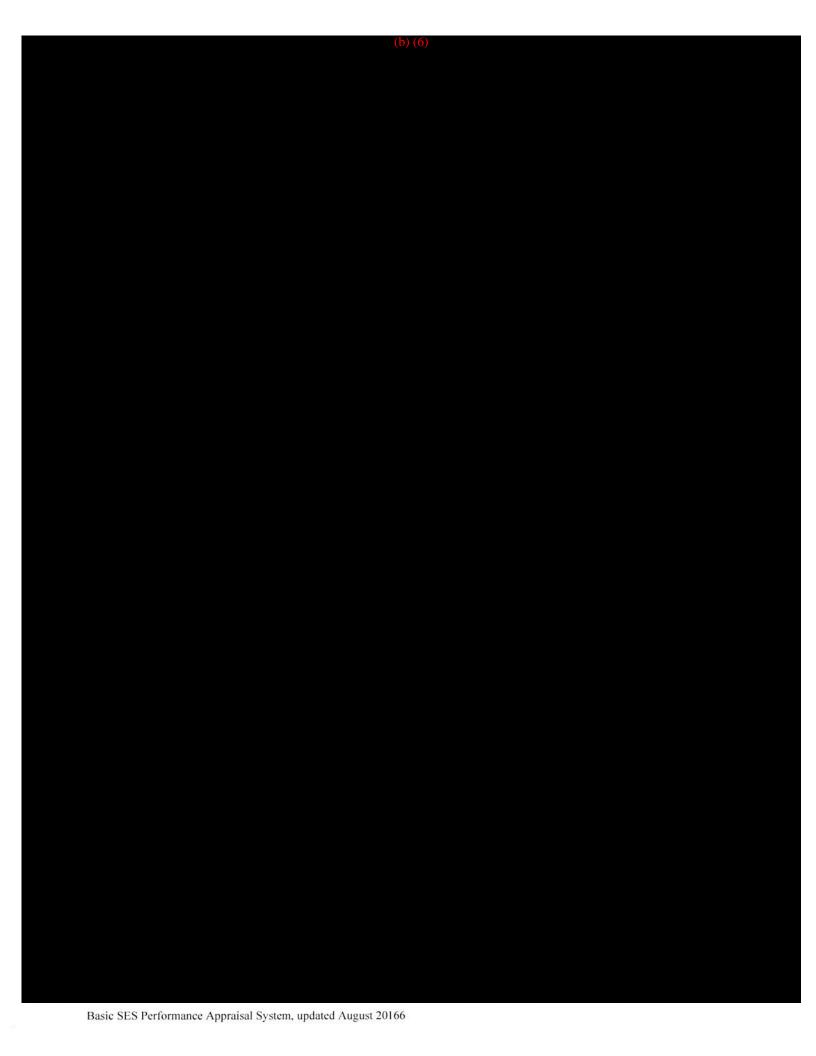
The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

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Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

(b) (6)



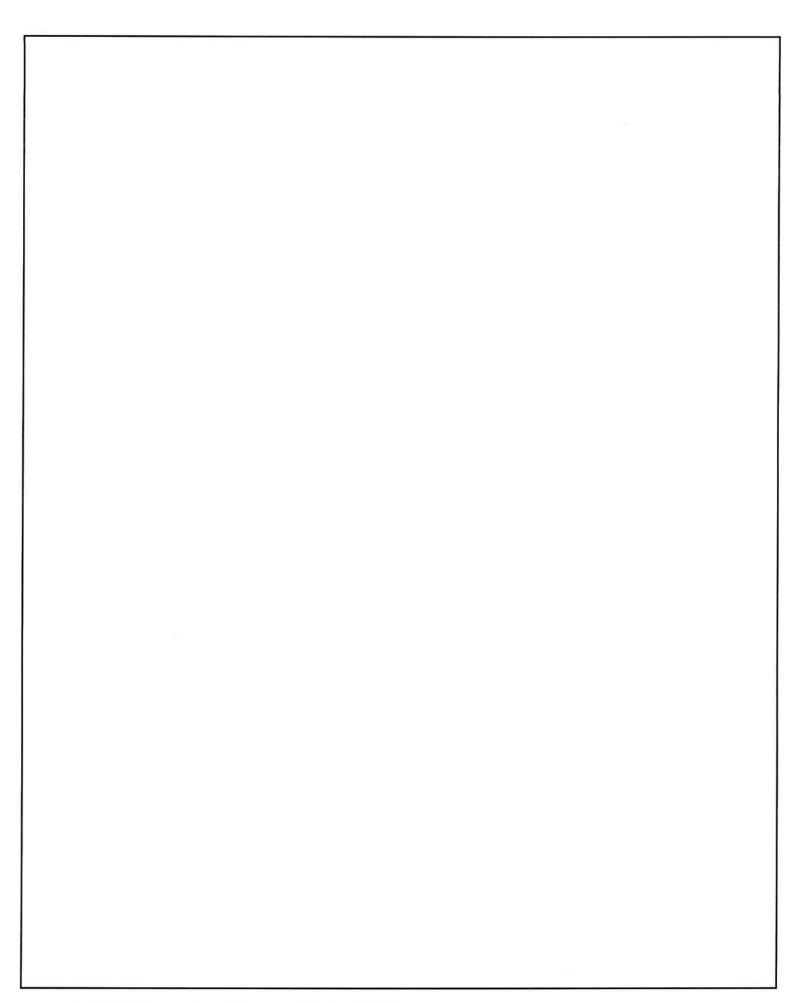
	(b) (6)
Rating Official Narrative: (Supervisor must provid	e comment for critical element ratings of Outstanding, Needs
Janes (Capatition Mass provid	e comment for critical element ratings of Outstanding, Needs (b) (6)
	(b) (6)
Manager Agency Control on the Control of the Contro	(6) (6)
Critical Element Rating – Results Driven	

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	e	

Executive Name and ID:	Appraisal Period:
(b) (6	
Decis CFC Decision and Automatical Control of the CFC Decision and	
Basic SES Performance Appraisal System, updated August 20168	

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Part 7: Executive's Accomplishment Narrative Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.
(b) (6)



	E	xecutive Develor	ment Plan		
mployee Name (L	ast, First, MI)		Performance Period		
ones, Quentin X	(b) (6)		From: 10/1/2016	To: 9/30/2016 (b) (6)	
ong Term Soal:	(8) (0)	Short Term Goal:		(6) (0)	
Career Goa	ls & Development O	bjectives	Specific Develop	ment Activities	
	Goals/Objectives	(b) (6)	Activity	Time Frame	
		(b) (6)		FY 17 /19	
				FY 17	
				EV/40	
				FY 18	
				FY 17	
				FY 17/18	
	Employee	0	popujsor	Approving Official	
001100100	Employee Signature	Signature	pervisor	Signature	
scussion and/o oproval of the	2000) Joignature	7	J.g. attaro	
ecutive evelopment Pla	n. Datal			Date	
o.opinont i la	Date (16	Date 12/5/2		Jale	
	0 1 3/1	10/5/6	16		

Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2	
pages provided. Calibri 10 font required. (b) (6)	

	(b) (6)	
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SES Performance Management System Executive Performance Plan



Part 1. Consultation. I have reviewed this plan and have been consulted on its	develonment
Executive's Name (Last, First, MI): O'Brien Kathleen S.	
Executive's Signature: Cathlern & Money	Appraisal Pd. 10/01/16-9/30/17
	Date: 11 30 2016
Title: Director, Office of Planning, Analysis, and Accountability	Organization: OCFO
Rating Official's Name (Last, First, MI): Bloom David A.	CA NC LT/LE
Rating Official's Signature:	Date: 11/30/2016
Part 2. Progress Review	
Executive's Signature:	Date: 4/21/2017
Rating Official's Signature:	Date: 4/21/17
Reviewing Official's Signature (Optional):	Date:
Part 3. Summary Rating (b) (6)	
Initial Summary Rating Outstanding Commendable Effe	nally Unsatisfactory
	Satia ctory
Rating Official's Name (Last, First, MI):	_
Rating Official's Signature:	Date: 11 /2 /2017
Executive's Signature:	Date: 11 /2 /2017 Date: 11/2/2017
Reviewing Official's Signature (Optional):	Date:
Higher Level Review (if applicable)	
☐ I request a higher level review. Executive's Initials:	Date:
Higher Level Review Completed	Date:
Higher Level Reviewer Signature:	
Performance Review Board Recommendation Level 5 Level 4	Level 3 Level 2 Level 1
PRB Chair Signature:	Date:
Annual Summary Rating Level 5 Level 4	
Appointing Authority Signature:	Date:
Part 4. Derivation Formula and Calculation of Annual Summary Rating	100 marine in a thing wonders are a total
Element Rating Score	
	inal
(b) (6)	nanged) Summary Level Ranges
1. Leading Change 10 2. Leading People 25	475-500 = Level 5
3. Business Acumen 10	400-474 = Level 4
4. Building Coalitions 10	300-399 = Level 3
5. Results Driven 45	200-299 = Level 2
Total 100%	Any CE rated Level 1 = Level 1

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

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- Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive routinely does not meet established performance expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or outcomes.

Element Rating Level Points

Level 5 = 5 points

Level 4 = 4 points

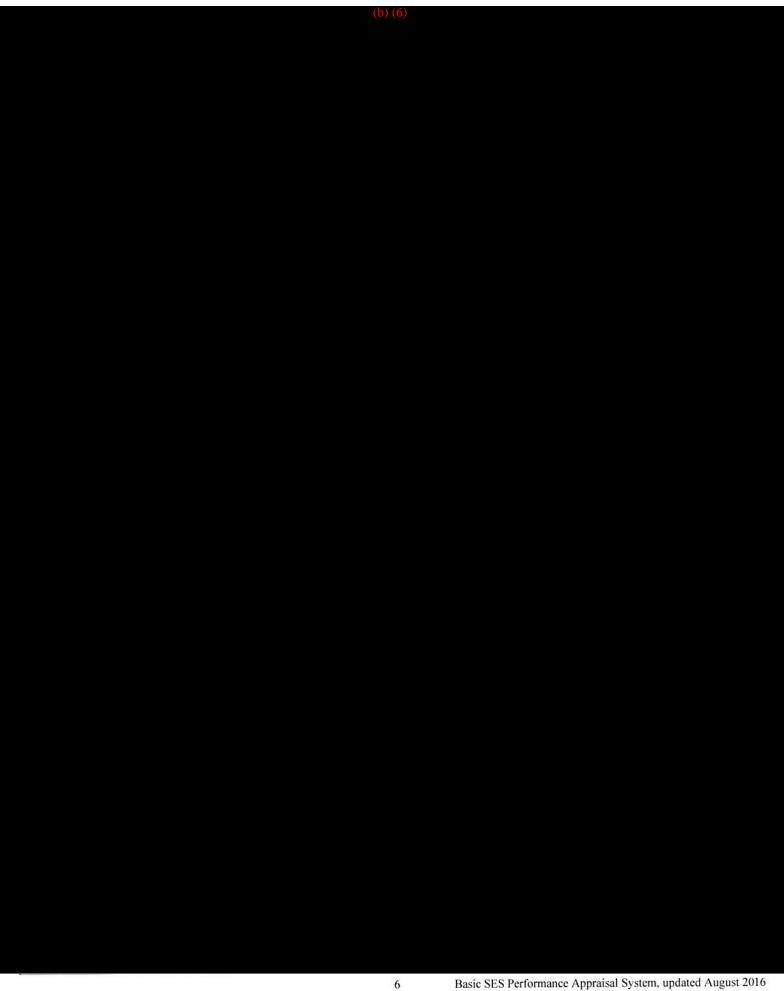
Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

Rating Official Narrative: (Supervisor must prov	vide comment for critical element ratings of Outstanding, Needs	
	(b) (6)	
Critical Element Rating – Leading People		
Executive Name and ID:	Appraisai Pe <u>cioo:</u>	(b) (6)
Critical Element 3. Business Acumen	(Minimum weight 5%)	(b) (6)
At - data - Dorformanco Poquirement: Asses	sses, analyzes, acquires, and administers human, financial, mater	rial, and
I continue that inctille	s public trust and accomplishes the organization's mission. Uses xecutes the operating budget; prepares budget requests with just	teelinolog,
and manages resources.		
Agency-Specific Performance Requirements		
As applicable, effectively promotes and suppo	orts meeting the Agency's Small Business Program goals and com	mitments,
including implementing strategies for increas	sing potential contracting opportunities for Small Businesses, Small	all
Disadvantaged Businesses, 8(a) Businesses, Se	ervice-Disabled Veteran-Owned Small Business, Women Owned :	Siliali
Dusingers and HIJPZone Businesses As anno	opriate, effectively promotes and supports meeting the Agency's	S WILLIOTTLY
Academic Institutions Program goals through	increased opportunities to Historically Black Colleges and Universific Islander Serving Institutions, Alaska Native Serving Institution	ns, Native
Colleges and Universities, Asian American Fac	erving Institutions identified by the Department of Education's A	ward
Catagories		
As applicable modernizes business practices.	including through E-Enterprise, and takes advantage of new too	ls and
tochnologies. Improves the way we work as a	high-performing Agency by ensuring we add value in every tran	saction with
our workforce, our co-regulators, our partner	rs, industry, and the people we serve. As applicable, promotes the overnents as a component of the Agency's High Performing Organ	nization
Cross-Agency Strategy		
As applicable, ensures compliance with all pe	rsonnel security and National Security Information requirements	s. Safeguards
and protects classified information in the ma	nner prescribed by regulation, directive and agency guidelines. R	eport
incidents, in compliance with the National Se	curity Information manual, involving the improper handling, una	iutnorized or
inadvertent disclosure of classified information	on and violations of the security regulations.	
Rating Official Narrative: (Supervisor must pro	ovide comment for critical element ratings of Outstanding, Need	S
nating official framework (12-)	(b) (6)	
Duting Business Asympto	(b) (6)	
Critical Element Rating – Business Acumen	(Minimum weight EV)	(b) (6)
Critical Element 4. Building Coalitions	(Minimum weight 5%)	
Land Coordinates with appropriate na	icits and considers feedback from internal and external stakehold arties to maximize input from the widest range of appropriate sta	akeriolaers to
feetitete an anon eychange of oninion from	diverse groups and strengthen internal and external support. Ex	(piairis,
advocates, and expresses facts and ideas in	a convincing manner and negotiates with individuals and groups	internally and

externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization. Agency-Specific Performance Requirements As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information. Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Critical Element Rating – Building Coalitions Executive Name and ID: Appraisal Period: Critical Element 5. Results Driven (Minimum Weight 20%) The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required. This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5. Strategic Alignment-identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement. Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

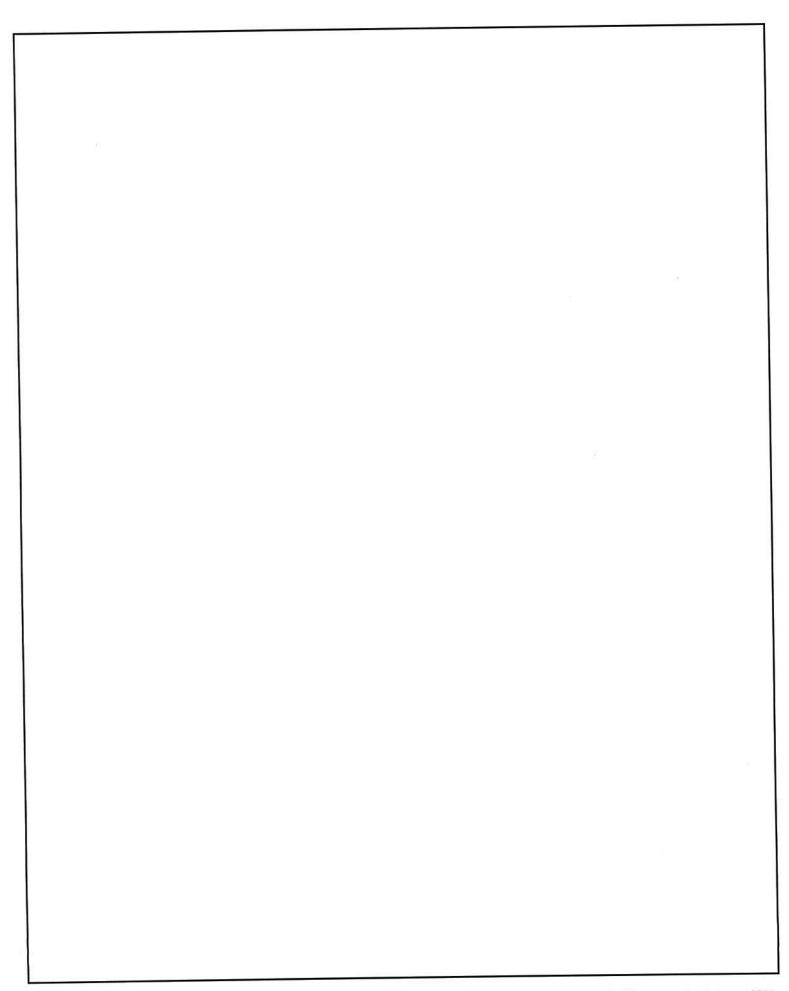


Critical Element Rating – Results Driven	(b) (6)
S = (Supervisor must)	(b) (6)
Rating Official Narrative: (Supervisor must a	provide comment for critical element ratings of Outstanding, Needs

Part 6: Summary Rating Narrative (Mandatory) Supervisor must provide comment for all ratings.

(b) (6)

I	Part 7:	Executive's Accomplishment Narrative	Executive must provide narrative for all Critical Elements within the 2 pages
ı	hrovido.	d Calibri III tont required	(b) (6)



art 8: Agency Use							
	DOTAL MINISTER	Winds on	28 1420	area.			
	Executive	e Developn	nent P	Plan		-10-	
Employee Name (Last, Fi	rst, MI)		Perform	nance Period		VIAR	\Box
O'Brien Kathleen S.	(b) (6)		From:	1/01/2017	To: 12 (b) (6)	2/31/2018	
Long Term Goal:	(b) (6)	Short Term Goal:					
Career Goals &	Development Objectives	S	pecific	Develop	ment Act	ivities	
Goa	als/Objectives		Act	ivity		Time Frame	
		(b) (6)					
	Employee	Supe	rvisor		Appr	roving Official	
Discussion and/or approval of the	Signature Sthrend	signature	3		Signature		
Executive Development Plan.	Date 11 (30/2016	Date / 10 / 2	016		Date		
	11 30 2 2 . 8	11/30/2	016				



SES Performance Management System Executive Performance Plan



Part 1. Consultation. I have reviewed this plan and have been consulted on its development.									
Executive's Signature:	Tist, Mily. Ostorne, How	diu k.	10-5			Appra	isai Pd. /c	/1/16	-9/30/17 2016
	A KIC					Date:	11/2	8/2	2016
Title: Associate Chief Fin						Organizatión: /			
Rating Official's Name (L	1	avid				CA 🗌	NC 🗌	LT/LE	
Rating Official's Signatur	e: (1 6) 0 5			9		Date:	11/28	1/20	16
Part 2. Progress Review			nie de Viet	e gi tin		Signif	all'Air	NI ST	3834
Executive's Signature:	XXX					Date:	4/2	1/2	17
Rating Official's Signatur	e: () 3	~				Date:	4/21	117	
Reviewing Official's Signa	ature (Optional):					Date:	- /		
Part 3. Summary Rating			(b)	(6)					
Initial Summary Rating	Outstanding Co	ommendable	Effective			/linimal atisfact		Unsa	atisfactory
Rating Official's Name (Lo	ast, First, MI):	love 1	buid,	A					9
Rating Official's Signature	e: A	3				Date:	11/6/	201	7
Executive's Signature: Date: 11/6/2017 Date: 11/6/2017					77				
Reviewing Official's Signature (Optional): Date:									
Higher Level Review (if a	Higher Level Review (if applicable)								
I request a higher leve	el review. Executive's	Initials:		1 52.7		Date:			
Higher Level Review Com	pleted					Date:	***************************************	=	
Higher Level Reviewer Sig	gnature:								
Performance Review Boo	ard Recommendation	Level 5	Le	vel 4	ΠLe	vel 3	Leve	1 2	Level 1
PRB Chair Signature:							Date:		
Annual Summary Rating		Level 5	□ Le	vel 4	□Le	vel 3	Leve	12	Level 1
Appointing Authority Sign	nature:						Date:		
Part 4. Derivation Formula and Calculation of Annual Summary Rating									
	Element Rating Score								
Cuitinal Flamment	Final			Fin	500				
Critical Element 1. Leading Change	Initial (if changed) (b) (6)	Weight 10	Initial (b) (6)	(if cha	nged)	S	ummary	Level	Ranges
2. Leading People		25					475-500) = Lev	/el 5
3. Business Acumen		10					400-474	4 = Lev	vel 4
4. Building Coalitions	1100	10					300-399		
5. Results Driven		45					200-299		
Total		100%				Any	LE rated	Level :	1 = Level 1

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or Governmentwide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- Level 4: The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position.
- Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive routinely does not meet established performance expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or outcomes.

Level 5 = 5 points
Level 4 = 4 points
Level 3 = 3 points
Level 2 = 2 points
Level 1 = 0 points

Critical Element 1. Leading Change

(Minimum weight 5%)

(b) (6

Mandatory Performance Requirement: Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Advances EPA's cross-agency strategies to improve service and program performance, to include streamlining decision making to increase efficiency and reduce costs, and to achieve sustainable environmental, economic, and social outcomes.

Rating Official Narrative:	(b) (6)		
Critical Element Rating – Leading Change		(b) (6)	

Critical Element 2. Leading People

(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Rating Official Narrative: (Supervisor must provide comm	ent for critical element ratings of Outstanding, Needs
Improvement, and Unsatisfactory)	(b) (6)
A	
Critical Element Rating – Leading People	vel 5 Level 4 Level 3 Level 2 Level 1
Executive Name and ID:	Appraisal Period:
Critical Element 3. Business Acumen	(Minimum weight 5%)
Mandatory Performance Requirement: Assesses, analy	zes, acquires, and administers human, financial, material, and ist and accomplishes the organization's mission. Uses technology
to enhance processes and decision making. Executes the	e operating budget; prepares budget requests with justifications;
and manages resources.	
Agency-Specific Performance Requirements	
As a will calle affectively promotes and supports mostin	ng the Agency's Small Business Program goals and commitments,
including implementing strategies for increasing potent	
	bled Veteran-Owned Small Business, Women Owned Small
Businesses and HUBZone Businesses. As appropriate, ef	fectively promotes and supports meeting the Agency's Minority
	opportunities to Historically Black Colleges and Universities, Tribal
	er Serving Institutions, Alaska Native Serving Institutions, Native
A CONTROL OF THE PROPERTY OF T	tutions identified by the Department of Education's Award
Categories. As applicable, modernizes business practices, including	through E-Enterprise, and takes advantage of new tools and
	orming Agency by ensuring we add value in every transaction with
	, and the people we serve. As applicable, promotes the use of
	as a component of the Agency's High Performing Organization
Cross-Agency Strategy.	it and National Consists Information nonsignmental Cofemands
	curity and National Security Information requirements. Safeguards ribed by regulation, directive and agency guidelines. Report
	rmation manual, involving the improper handling, unauthorized or
inadvertent disclosure of classified information and viol	
	f O Adam diam Name
Rating Official Narrative: (Supervisor must provide complete provide complete)	nent for critical element ratinas of Outstandina, Needs
Improvement, and onsatisfactory)	(b) (6)
	(b) (6)
Critical Element Rating – Business Acumen	(6) (6)
Critical Element 4. Building Coalitions	(Minimum weight 5%)
Mandatory Performance Requirement: Solicits and co	nsiders feedback from internal and external stakeholders or

advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and Basic SES Performance Appraisal System, updated August 2016

customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains,

externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs

Improvement, and Unsatisfactory)

(b) (6

Critical Element Rating – Building Coalitions

Executive Name and ID:

Appraisal Period:

Critical Element 5. Results Driven

(Minimum Weight 20%)

(b) (6)

The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

Strategic Alignment—identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

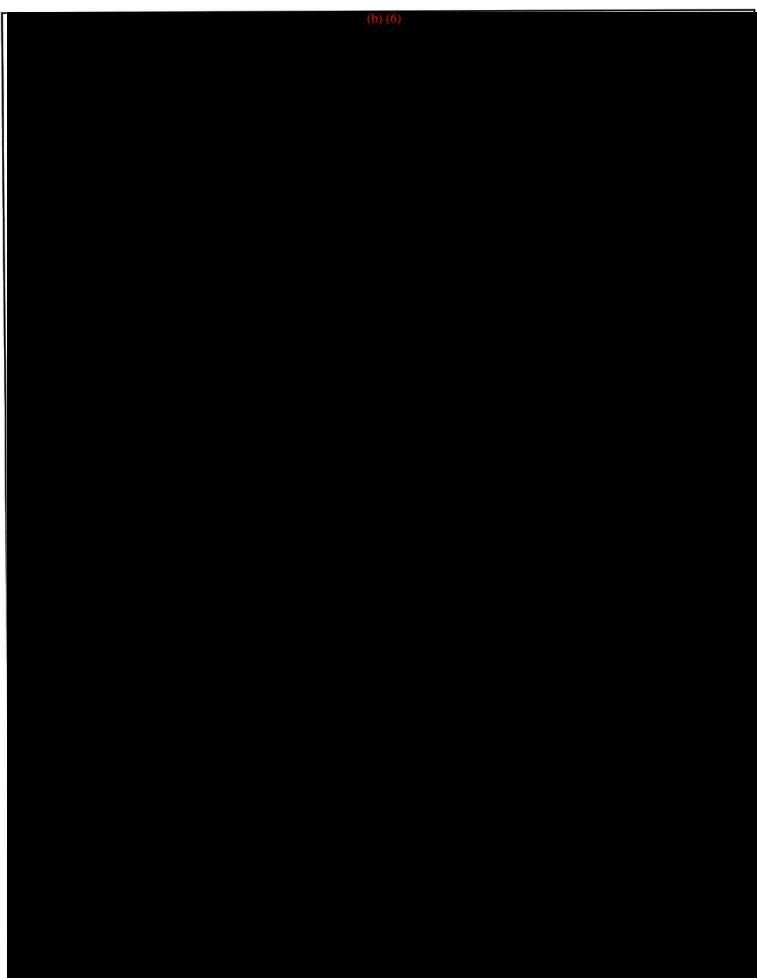
(b) (6)



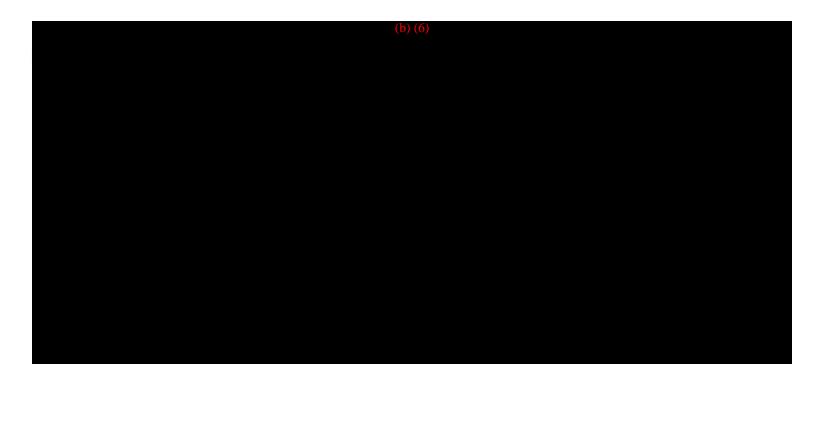
	(b) (6)
_	
Rating Official Narrative: (Supervisor must prov	vide comment for critical element ratings of Outstanding, Needs
Improvement, and Unsatisfactory)	(b) (6)
	(b) (6)
Critical Element Rating – Results Driven	(0) (0)

Executive Name and ID:	Appraisal Period:
Part 6: Summary Rating Narrative (Mandatory) Supervisor mus	
(b)	6)

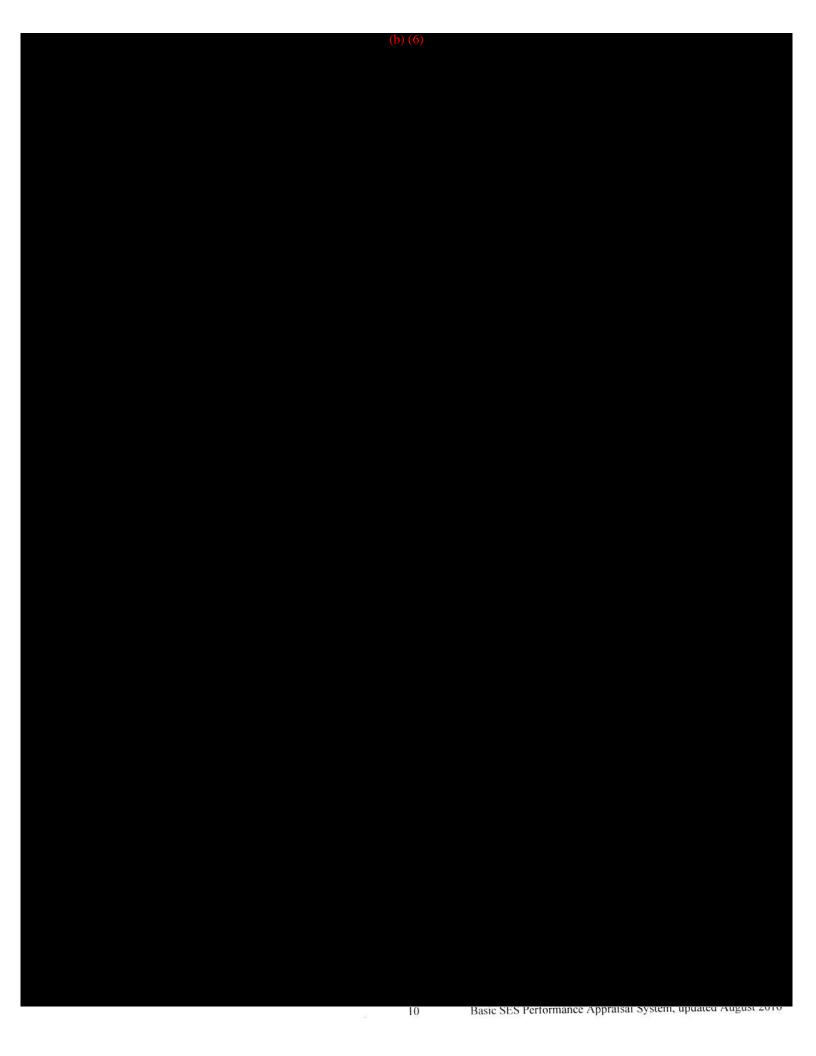
Part 7: Executive's Accomplishment Narrative Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.				
	(b) (6)			



	Executiv	e Developm	nent Plan		
mployee Name (Last, First, MI)		Performance Period	Performance Period	
sborne, Howard	ık.			From: Oct 1, 2016 To: Sept 30, 2017	
ong Term Goal:	(b) (6)	Short Term Goal:		(b) (6)	
Career Goa	ls & Development Objectives	s S	Specific Development Activities		
	Goals/Objectives		Activity	Time Frame	
	(b) (6)			FY 2017	
				FY 2017	
				FY 2017	
				On-going	
Discussion and/or approval of the Executive Development Plan.	Employee	Supen		Approving Official	
	At a	Signature		Signature	
	n. Date D	11/28/7	(O)	Date	



Part 7: Executive's Accomplishment Narrative Executive must provide narrative for all Critical Elements within the 2 pages
provided. Calibri 10 font required. (b) (6)



SES Performance Management System Executive Performance Plan



Part 1. Consultation. I have reviewed this plan and have been consulted on its development.							
Executive's Name (Last, First, MI): Terris, Carol L.	Appraisal Pd. 10/1/2016- 9/30/2017 -						
Executive's Signature:	Date: 11/23/2016						
Title: Director, Office of Budget	Organization: OCFO						
Rating Official's Name (Last, First, MI): Bloom, David A.	CA NC LT/LE						
Rating Official's Signature:	Date: 11/23/2016						
Part 2. Progress Review							
Executive's Signature:	Date: 4/2 3/2017						
Rating Official's Signature:	Date: 4/27/17						
Reviewing Official's Signature (Optional):	Date:						
Part 3. Summary Rating (b) (6)							
Initial Summary Rating Outstanding Commendable Effective	Minimally Unsatisfactory Satisfactory						
Rating Official's Name (Last, First, MI):							
Rating Official's Signature:	Date: 11/3/2017						
Executive's Signature:	Date: 11/3/2017 Date: 61/3/2017						
Reviewing Official's Signature (Optional):	Date:						
Higher Level Review (if applicable)							
☐ I request a higher level review. Executive's Initials:	Date:						
Higher Level Review Completed	Date:						
Higher Level Reviewer Signature:							
Performance Review Board Recommendation	Level 3 Level 2 Level 1						
PRB Chair Signature: Date:							
Annual Summary Rating	Level 3 Level 2 Level 1						
Appointing Authority Signature:	Date:						
Part 4. Derivation Formula and Calculation of Annual Summary Rating							
Element Rating Score							
Final Final Final Critical Element Initial (if changed) Weight Initial (if changed)	Summary Level Ranges						
1. Leading Change (b) (6) (10 (b) (6)							
2. Leading People 25	475-500 = Level 5						
3. Business Acumen 10	400-474 = Level 4						
4. Building Coalitions 10	300-399 = Level 3 200-299 = Level 2						
5. Results Driven 45	Any CE rated Level 1 = Level 1						
Total 100%	Any of rated level 1 - Level 1						

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or Governmentwide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- Level 4: The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position.
- Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive routinely does not meet established performance expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or outcomes.

Element Rating Level Points

Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

Executive Name and ID: Carol Terris

Appraisal Period: 10/1/2016-9/30/2017

Critical Element 1. Leading Change	(Minimum weight 5%)	Weight 10%
Mandatory Performance Requirement: Develops and implem organizational and program goals, priorities, values, and other implementing innovative solutions to make organizational implementing innovative solutions to make organizational implemajor shifts in direction or approach, as appropriate. Balances service and program performance; creates a work environment transparency; and maintains program focus, even under advert	factors. Assesses and adjusts to changing sit provements, ranging from incremental improve change and continuity; continually strives to that encourages creative thinking, collaborate	tuations, vements to
Agency-Specific Performance Requirements	•	
ating Official Narrative: (Supervisor must provide comment for		
		eds
(0)	(6)	
	(b) (6)	
Critical Element Rating — Leading Change		
Critical Flowart 2. Landing Bound		(h) (c)
Critical Element 2. Leading People	(Minimum weight 5%)	(b) (6)
Mandatory Performance Requirement: Designs and implement	ats stratogies that maximize employee noten	
, and implement	nts strategies that maximize employee poten	tial, connects
he organization horizontally and vertically, and fosters high etl	hical standards in meeting the organization's	vision mission
he organization horizontally and vertically, and fosters high etl	hical standards in meeting the organization's	vision mission
he organization horizontally and vertically, and fosters high etl nd goals. Provides an inclusive workplace that fosters the dev	hical standards in meeting the organization's relopment of others to their full potential; all	vision, mission
he organization horizontally and vertically, and fosters high etl nd goals. Provides an inclusive workplace that fosters the dev articipation by all employees; facilitates collaboration, cooper	hical standards in meeting the organization's relopment of others to their full potential; allestion, and teamwork, and supports construction.	vision, mission ows for full tive resolution
ne organization horizontally and vertically, and fosters high etl nd goals. Provides an inclusive workplace that fosters the dev articipation by all employees; facilitates collaboration, cooper f conflicts. Ensures employee performance plans are aligned w	hical standards in meeting the organization's relopment of others to their full potential; allowation, and teamwork, and supports construction, and goals, the with the organization's mission and goals, the	vision, mission ows for full tive resolution at employees
ne organization horizontally and vertically, and fosters high ethe nd goals. Provides an inclusive workplace that fosters the deventicipation by all employees; facilitates collaboration, cooper formance plans are aligned to the conflicts. Ensures employee performance plans are realistice constructive feedback, and that employees are realistice.	hical standards in meeting the organization's relopment of others to their full potential; allestion, and teamwork, and supports construction, and teamwork, and supports construction the organization's mission and goals, the tally appraised against clearly defined and contact the contact in the contact and contact an	vision, mission ows for full tive resolution at employees mmunicated
he organization horizontally and vertically, and fosters high ethe nd goals. Provides an inclusive workplace that fosters the dev articipation by all employees; facilitates collaboration, cooper f conflicts. Ensures employee performance plans are aligned vecive constructive feedback, and that employees are realistic erformance standards. Holds employees accountable for app	hical standards in meeting the organization's relopment of others to their full potential; all ration, and teamwork, and supports construction, and goals, the with the organization's mission and goals, the fally appraised against clearly defined and contropriate levels of performance and conduct.	vision, mission ows for full tive resolution at employees mmunicated Seeks and
the organization horizontally and vertically, and fosters high ethe organization horizontally and vertically, and fosters the deviant goals. Provides an inclusive workplace that fosters the devianticipation by all employees; facilitates collaboration, cooper formance plans are aligned to conflicts. Ensures employee performance plans are aligned to eceive constructive feedback, and that employees are realistic erformance standards. Holds employees accountable for apploading employee input. Recruits, retains, and develops the formal considers employee input.	hical standards in meeting the organization's relopment of others to their full potential; all ration, and teamwork, and supports construction, and teamwork, and supports construction the organization's mission and goals, the fally appraised against clearly defined and contropriate levels of performance and conduct. It is taken to achieve a high quality, divertible.	vision, mission ows for full tive resolution at employees mmunicated Seeks and rse workforce
the organization horizontally and vertically, and fosters high ether and goals. Provides an inclusive workplace that fosters the develoration by all employees; facilitates collaboration, cooper of conflicts. Ensures employee performance plans are aligned to eceive constructive feedback, and that employees are realistic erformance standards. Holds employees accountable for applications of the include the input. Recruits, retains, and develops the fact reflects the nation, with the skills needed to accomplish or	hical standards in meeting the organization's relopment of others to their full potential; allowation, and teamwork, and supports construction, and teamwork, and supports construction the organization's mission and goals, the sally appraised against clearly defined and contropriate levels of performance and conduct talent needed to achieve a high quality, diverganizational performance objectives while supports.	vision, mission ows for full tive resolution at employees mmunicated Seeks and rse workforce
the organization horizontally and vertically, and fosters high ethe and goals. Provides an inclusive workplace that fosters the devianticipation by all employees; facilitates collaboration, cooper of conflicts. Ensures employee performance plans are aligned to eccive constructive feedback, and that employees are realistic erformance standards. Holds employees accountable for apploanties employee input. Recruits, retains, and develops the that reflects the nation, with the skills needed to accomplish or workforce diversity, workplace inclusion, and equal employments.	hical standards in meeting the organization's relopment of others to their full potential; allowation, and teamwork, and supports construction, and teamwork, and supports construction the organization's mission and goals, the sally appraised against clearly defined and contropriate levels of performance and conduct talent needed to achieve a high quality, diverganizational performance objectives while supports.	vision, mission ows for full tive resolution at employees mmunicated Seeks and rse workforce
the organization horizontally and vertically, and fosters high ether and goals. Provides an inclusive workplace that fosters the develoarticipation by all employees; facilitates collaboration, cooper of conflicts. Ensures employee performance plans are aligned beceive constructive feedback, and that employees are realistic performance standards. Holds employees accountable for applications of the semiloyee input. Recruits, retains, and develops the semilost the nation, with the skills needed to accomplish or workforce diversity, workplace inclusion, and equal employments	hical standards in meeting the organization's relopment of others to their full potential; alloation, and teamwork, and supports construct with the organization's mission and goals, the fally appraised against clearly defined and contropriate levels of performance and conduct. It talent needed to achieve a high quality, diverganizational performance objectives while suppose and programs.	vision, mission ows for full tive resolution at employees mmunicated Seeks and rse workforce upporting
the organization horizontally and vertically, and fosters high ether and goals. Provides an inclusive workplace that fosters the devolution by all employees; facilitates collaboration, cooper of conflicts. Ensures employee performance plans are aligned beceive constructive feedback, and that employees are realistic performance standards. Holds employees accountable for appropriate employee input. Recruits, retains, and develops the shat reflects the nation, with the skills needed to accomplish or workforce diversity, workplace inclusion, and equal employment agency-Specific Performance Requirements employee is personally engaged in the development and successity.	hical standards in meeting the organization's relopment of others to their full potential; all ration, and teamwork, and supports construct with the organization's mission and goals, the rally appraised against clearly defined and contropriate levels of performance and conduct. It talent needed to achieve a high quality, diverganizational performance objectives while suppose the policies and programs.	vision, missio ows for full tive resolution at employees mmunicated Seeks and rse workforce upporting
the organization horizontally and vertically, and fosters high ether and goals. Provides an inclusive workplace that fosters the devocation by all employees; facilitates collaboration, cooper of conflicts. Ensures employee performance plans are aligned veceive constructive feedback, and that employees are realistic performance standards. Holds employees accountable for applicanciders employee input. Recruits, retains, and develops the shat reflects the nation, with the skills needed to accomplish or workforce diversity, workplace inclusion, and equal employment agency-Specific Performance Requirements imployee is personally engaged in the development and successity.	hical standards in meeting the organization's relopment of others to their full potential; all ration, and teamwork, and supports construct with the organization's mission and goals, the rally appraised against clearly defined and contropriate levels of performance and conduct. It talent needed to achieve a high quality, diverganizational performance objectives while suppose the policies and programs.	vision, missio ows for full tive resolution at employees mmunicated Seeks and rse workforce upporting
the organization horizontally and vertically, and fosters high ether and goals. Provides an inclusive workplace that fosters the devianticipation by all employees; facilitates collaboration, cooper of conflicts. Ensures employee performance plans are aligned beceive constructive feedback, and that employees are realistic terformance standards. Holds employees accountable for apploasiders employee input. Recruits, retains, and develops the state reflects the nation, with the skills needed to accomplish or workforce diversity, workplace inclusion, and equal employmer agency-Specific Performance Requirements	hical standards in meeting the organization's relopment of others to their full potential; allowation, and teamwork, and supports construction, and teamwork, and supports construction and teamwork, and supports construction and goals, the relation and goals, the relation and the organization and serior defined and conformate levels of performance and conduct. It talent needed to achieve a high quality, diverganizational performance objectives while support policies and programs. The serior of Agency Civil Rights, EEO, and Diversity at the Agency's Management Directive 715 Reserved.	vision, missio ows for full tive resolution at employees mmunicated Seeks and rse workforce upporting and Inclusion

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs

(b)(6)

Critical Element Rating – Leading People

(b)(6)

Executive Name and ID: Carol Terris

Appraisal Period: 10/1/2016-9/30/2017

Critical Element 3. Business Acumen

(Minimum weight 5%)

Mandatory Performance Requirement: Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs

(b) (6)

Critical Element Rating - Business Acumen

Critical Element 4. Building Coalitions

(b) (6)

(Minimum weight 5%)

(b)(6)

Mandatory Performance Requirement: Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs

marguament and Uncaticfactory

(b) (6)

Critical Element Rating – Building Coalitions

Executive Name and ID: Carol Terris

Appraisai Perioa: 10/1/2016-9/30/201/

(b) (6

Critical Element 5. Results Driven

(Minimum Weight 20%)

The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

Strategic Alignment—identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

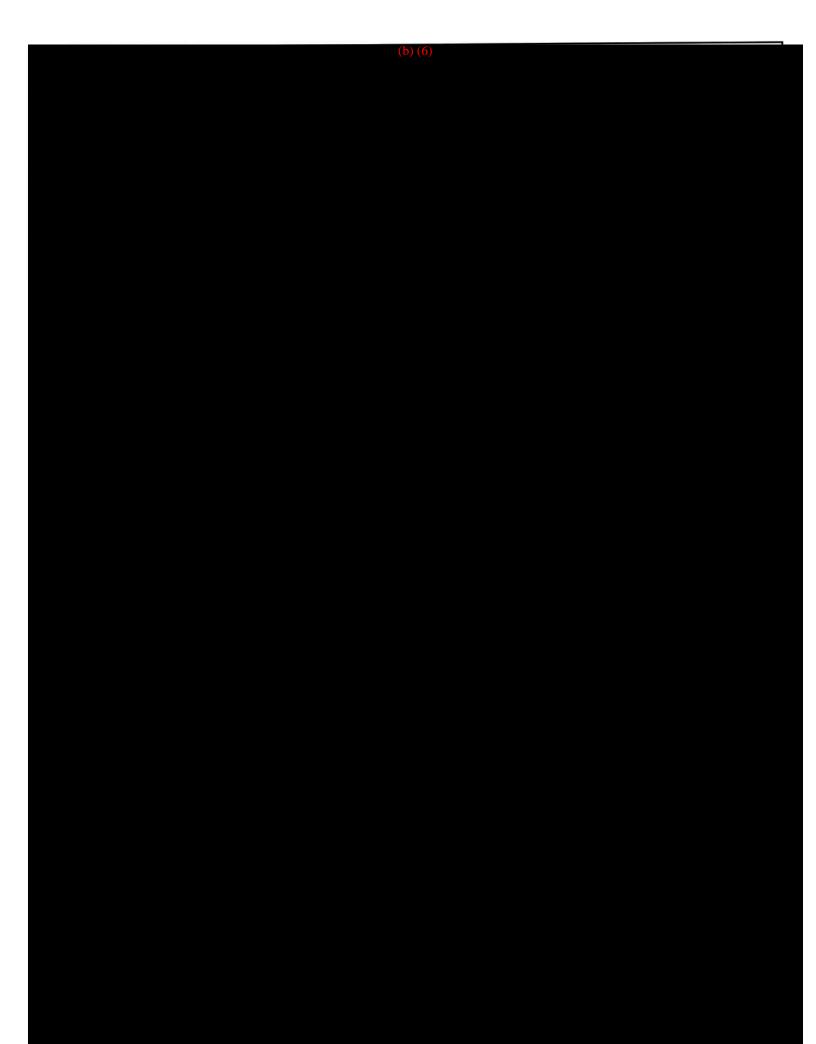
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	Executive Name and ID:	Carol Terris	Appraisal Period: 10/1/2016-9/30/2017
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Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)	
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(b) (6)	
Critical Element Rating – Results Driven	

Part 6: Summary Rating Narrative (Mandatory) Supervisor must provide comment for all ratings.	1
(b) (6)	

Part 7: Executive's Accomplishment Narrative Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required. (b) (6)



Part 8: Agency Use					
		. D I			
		e Developm	ent Plan		
Employee Name (Last, Fire	st, MI)		Performance Perio		
Terris, Carol L	(b) (6)		From: Oct 1, 20	16 To: Sept	t 30, 2017
Long Term Goal:		Short Term Goal:			
Career Goals & I	Development Objectives	s Sp	pecific Devel	opment Activ	ities
Goo	le/Objectives		**************************************		
		(b) (6)			
	Employee	Supervi	sor	Approvi	ng Official
		ignature	>	Signature	
approval of the Executive	segge	1 de			
Development Plan.	Date D	11/23/2		Date	
	11/21/2016	11/23/2	016		

ecutive Name and ID: Carol Terris	Rating Period: 10/01/16 - 9/30/1
art 7: Executive's Accomplishment Narrative – Executiv ages provided. Calibri 10 font required.	ve must provide narrative for all Critical Elements within the 2
ges provided. Calibri 10 John regulied.	(b) (6)

